

NPL Dialog Search 09/397704

Date 10/26/05

? b ftxtcor nftxtcor

```
>>>          77 does not exist
>>>          233 does not exist
>>>2 of the specified files are not available
      26oct05 14:44:29 User242899 Session D471.1
      $0.00      0.246 DialUnits FileHomeBase
      $0.00 Estimated cost FileHomeBase
      $0.05 TELNET
      $0.05 Estimated cost this search
      $0.05 Estimated total session cost      0.246 DialUnits
```

SYSTEM:OS - DIALOG OneSearch

```
File 15:ABI/Inform(R) 1971-2005/Oct 26
      (c) 2005 ProQuest Info&Learning
File 9:Business & Industry(R) Jul/1994-2005/Oct 25
      (c) 2005 The Gale Group
File 810:Business Wire 1986-1999/Feb 28
      (c) 1999 Business Wire
File 275:Gale Group Computer DB(TM) 1983-2005/Oct 25
      (c) 2005 The Gale Group
File 476:Financial Times Fulltext 1982-2005/Oct 26
      (c) 2005 Financial Times Ltd
File 610:Business Wire 1999-2005/Oct 26
      (c) 2005 Business Wire.
```

***File 610: File 610 now contains data from 3/99 forward.**

Archive data (1986-2/99) is available in File 810.

```
File 624:McGraw-Hill Publications 1985-2005/Oct 26
      (c) 2005 McGraw-Hill Co. Inc
```

***File 624: Homeland Security & Defense and 9 Platt energy journals added**

Please see HELP NEWS624 for more

```
File 636:Gale Group Newsletter DB(TM) 1987-2005/Oct 25
      (c) 2005 The Gale Group
File 621:Gale Group New Prod.Annou.(R) 1985-2005/Oct 26
      (c) 2005 The Gale Group
File 613:PR Newswire 1999-2005/Oct 26
      (c) 2005 PR Newswire Association Inc
```

***File 613: File 613 now contains data from 5/99 forward.**

Archive data (1987-4/99) is available in File 813.

```
File 813:PR Newswire 1987-1999/Apr 30
      (c) 1999 PR Newswire Association Inc
File 16:Gale Group PROMT(R) 1990-2005/Oct 25
      (c) 2005 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
      (c) 1999 The Gale Group
File 634:San Jose Mercury Jun 1985-2005/Oct 25
      (c) 2005 San Jose Mercury News
File 148:Gale Group Trade & Industry DB 1976-2005/Oct 26
      (c)2005 The Gale Group
File 20:Dialog Global Reporter 1997-2005/Oct 26
```

(c) 2005 Dialog
 File 35:Dissertation Abs Online 1861-2005/Oct
 (c) 2005 ProQuest Info&Learning
 File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
 (c) 2002 The Gale Group
***File 583: This file is no longer updating as of 12-13-2002.**
 File 65:Inside Conferences 1993-2005/Oct W4
 (c) 2005 BLDSC all rts. reserv.
 File 2:INSPEC 1898-2005/Oct W3
 (c) 2005 Institution of Electrical Engineers
***File 2: Archive data back to 1898 has been added to File 2.**
 File 474:New York Times Abs 1969-2005/Oct 25
 (c) 2005 The New York Times
 File 475:Wall Street Journal Abs 1973-2005/Oct 25
 (c) 2005 The New York Times
 File 99:Wilson Appl. Sci & Tech Abs 1983-2005/Sep
 (c) 2005 The HW Wilson Co.
 File 348:EUROPEAN PATENTS 1978-2005/Oct W03
 (c) 2005 European Patent Office
 File 349:PCT FULLTEXT 1979-2005/UB=20051020,UT=20051013
 (c) 2005 WIPO/Univentio
 File 347:JAPIO Nov 1976-2005/Jun(Updated 051004)
 (c) 2005 JPO & JAPIO

Set	Items	Description
---	-----	-----
? s (trust)	(1w) units)	
>>>	Unmatched parentheses	
? ds		
>>>	No sets currently exist	
? s (trust (1w) unit)	(20n) (bond (20n) (equit??? or share?? or securit???)	
>>>	Unmatched parentheses	
? s (trust (1w) unit)	(20n) (bond (20n) (equit??? or share?? or securit???)	
Processing		
Processed 10 of 26 files ...		
Processing		
Processing		
Processing		
Processing		
Processed 20 of 26 files ...		
Processing		
Completed processing all files		
2918760	TRUST	
6649807	UNIT	
1888116	BOND	
5030228	EQUIT???	
15374684	SHARE??	
15979948	SECURIT???	
S1	45	(TRUST (1W) UNIT) (20N) (BOND (20N) (EQUIT???
		OR SHARE??
		OR SECURIT???)
? s s1 and py<2000		
Processing		
Processed 10 of 26 files ...		
Processing		

Processing
Processed 20 of 26 files ...
Processing
Completed processing all files
45 S1
63569972 PY<2000
S2 5 S1 AND PY<2000
? t s2/7,k/1-5

2/7,K/1 (Item 1 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
(c) 2005 The Gale Group. All rts. reserv.

01583602 Supplier Number: 24299618 (THIS IS THE FULLTEXT)
Nuveen Forms Investment Teams
(John Nuveen & Co adopts team approach to portfolio investment management of its \$63 bil in assets managed to court more business)
Bank Investment Services Report, v 6, n 25, p 3
June 22, 1998
WORD COUNT: 152

TEXT:
John Nuveen & Co. has changed the way it manages its different mutual funds in an effort to increase sales to banks and other customers.

The Chicago-based asset management company has embraced the team concept and is joining together its previously separate portfolio managers and analysts into dedicated investment teams.

The first restructuring will assemble teams by product type. A later refinement of the organizational change will organize the teams by region of the country.

The redesign of the investment structure is intended to boost Nuveen's sales of mutual funds. The company has long sold it funds, particularly its **bond** funds, through the banking channel. Two years ago, it introduced its first line of **equity** funds. The company's largest selling product in the bank channel is the unit **trust**. The **unit** trusts, a spokesman said, will have dedicated investment teams like the Nuveen mutual funds and managed accounts.,

Nuveen manages or oversees \$63 billion in assets.

Copyright 1998 Thomson Media

TEXT:

...Nuveen's sales of mutual funds. The company has long sold its funds, particularly its **bond** funds, through the banking channel. Two years ago, it introduced its first line of **equity** funds. The company's largest selling product in the bank channel is the unit **trust**. The **unit** trusts, a spokesman said, will have dedicated investment teams like the Nuveen mutual funds and...

2/7,K/2 (Item 2 from file: 9)

DIALOG(R)File 9:Business & Industry(R)
(c) 2005 The Gale Group. All rts. reserv.

01265368 Supplier Number: 23905291

Nikko Securities Unit Is Punished in Japan For Illegal Trading
(**Nikko Securities Investment Trust & Management unit is being punished by Japan's Ministry of Finance for illegal bond trading**)
Wall Street Journal , v CCXXIX, n 101, p A11A
May 23, 1997

ABSTRACT:

Nikko Securities ' Nikko Securities Investment Trust & Management unit is being punished by Japan's Ministry of Finance for illegal bond trading. The ministry is prohibiting the unit from signing new trust contracts for one month starting 6/2/97. **Nikko Securities Investment Trust & Management** acknowledged that it sold Euroyen bonds to a securities company at too high a price in 1994 when it was confronted with massive cancellations of long-term government bonds. The difference between the sale price and the market price was around \$20.1 mil. In exchange, **Nikko Securities Investment Trust & Management** purchased some Euroyen bonds from the company for a price approximately Y2.5 bil higher than the market price and placed the bonds in its short-term bond investment trust and money management funds.
(**Nikko Securities Investment Trust & Management unit is being punished by Japan's Ministry of Finance for illegal bond trading**)

ABSTRACT:

Nikko Securities ' Nikko Securities Investment Trust & Management unit is being punished by Japan's Ministry of Finance for illegal bond trading. The ministry is prohibiting the unit from signing new trust contracts for one month starting 6/2/97. **Nikko Securities Investment Trust & Management** acknowledged that it sold Euroyen bonds to a securities company at too...

2/7,K/3 (Item 3 from file: 9)

DIALOG(R)File 9:Business & Industry(R)
(c) 2005 The Gale Group. All rts. reserv.

00603327 Supplier Number: 23157590

NationsBank Quitting Bond Administration Business

(NationsBank will sell its bond trustee, paying agent, registrar and escrow

operations by end-1995)

American Banker, v CLX, n 53, p 32

March 20, 1995

ABSTRACT:

NationsBank Corp (Charlotte, NC) will by end-1995 sell its bond trustee, paying agent, registrar and escrow operations and withdraw from the bond administration segment of the corporate trust business. Through 87 offices in nine states and the District of Columbia, NationsBank Trust's corporate trust unit administers \$167 bil worth of debt securities and services more than 71,500 accounts. NationsBank Trust president James B Sommers explains that the bond administration business simply is not growing fast enough to meet its return-on-equity goals. NationsBank Trust has therefore decided to concentrate more on corporate asset and investment management and retirement services. NationsBank Trust has \$57.4 bil of total managed assets and \$163.6 bil of assets under administration.

ABSTRACT:

...Through 87 offices in nine states and the District of Columbia, NationsBank Trust's corporate trust unit administers \$167 bil worth of debt securities and services more than 71,500 accounts. NationsBank Trust president James B Sommers explains that the bond administration business simply is not growing fast enough to meet its return-on-equity goals. NationsBank Trust has therefore decided to concentrate more on corporate asset and investment management...

2/7,K/4 (Item 1 from file: 636)

DIALOG(R) File 636:Gale Group Newsletter DB(TM)

(c) 2005 The Gale Group. All rts. reserv.

03904937 Supplier Number: 50090241 (THIS IS THE FULLTEXT)

Nuveen Forms Investment Teams

Bank Mutual Fund Report, v6, n251, pN/A

June 22, 1998

TEXT:

John Nuveen & Co. has changed the way it manages its different mutual funds

in an effort to increase sales to banks and other customers.

The Chicago-based asset management company has embraced the team concept and is joining together its previously separate portfolio managers

and analysts into dedicated investment teams.

The first restructuring will assemble teams by product type. A later refinement of the organizational change will organize the teams by region of the country.

The redesign of the investment structure is intended to boost Nuveen's sales of mutual funds. The company has long sold it funds, particularly its **bond** funds, through the banking channel. Two years ago, it introduced its first line of **equity** funds. The company's largest selling product in the bank channel is the unit **trust**. The **unit** trusts, a spokesman said, will have dedicated investment teams like the Nuveen mutual funds and managed accounts.,

Nuveen manages or oversees \$63 billion in assets.

THIS IS THE FULL TEXT: COPYRIGHT 1998 American Banker-Bond Buyer. Subscription: \$795 per year as of 1/97. Published 48 times per year.

Contact American Banker-Bond Buyer, One State Plaza, New York, NY 10004. Phone 800-407-8241. Fax 212-843-9620.

COPYRIGHT 1999 Gale Group

... Nuveen's sales of mutual funds. The company has long sold it funds, particularly its **bond** funds, through the banking channel. Two years ago, it introduced its first line of **equity** funds. The company's largest selling product in the bank channel is the unit **trust**. The **unit** trusts, a spokesman said, will have dedicated investment teams like the Nuveen mutual funds and...

19980622

2/7,K/5 (Item 1 from file: 475)

DIALOG(R) File 475:Wall Street Journal Abs
(c) 2005 The New York Times. All rts. reserv.

01026337 NYT Sequence Number: 012811740925

(Fidelity Union Bancorp chmn C M Davis says co's losses on bond transactions at its Fidelity Union Trust unit resulted from unauthorized transactions rather than from recording errors, meeting of security analysts, Los Angeles. Discusses effect of losses on fiscal '74 earnings (S).)

Wall Street Journal, Col. 3, Pg. 7
Wednesday September 25 1974

(Fidelity Union Bancorp chmn C M Davis says co's losses on bond transactions at its Fidelity Union Trust unit resulted from unauthorized transactions rather than from recording errors, meeting of

security analysts, Los Angeles. Discusses effect of losses on fiscal
'74
earnings (S)...
1974
?

Dialog NPL search for 09/397,704 10/26/05

File 15:ABI/Inform(R) 1971-2005/Oct 26
(c) 2005 ProQuest Info&Learning
File 9:Business & Industry(R) Jul/1994-2005/Oct 25
(c) 2005 The Gale Group
File 810:Business Wire 1986-1999/Feb 28
(c) 1999 Business Wire
File 275:Gale Group Computer DB(TM) 1983-2005/Oct 25
(c) 2005 The Gale Group
File 476:Financial Times Fulltext 1982-2005/Oct 26
(c) 2005 Financial Times Ltd
File 610:Business Wire 1999-2005/Oct 26
(c) 2005 Business Wire.
File 624:McGraw-Hill Publications 1985-2005/Oct 26
(c) 2005 McGraw-Hill Co. Inc
File 636:Gale Group Newsletter DB(TM) 1987-2005/Oct 25
(c) 2005 The Gale Group
File 621:Gale Group New Prod.Annou.(R) 1985-2005/Oct 26
(c) 2005 The Gale Group
File 613:PR Newswire 1999-2005/Oct 26
(c) 2005 PR Newswire Association Inc
File 813:PR Newswire 1987-1999/Apr 30
(c) 1999 PR Newswire Association Inc
File 16:Gale Group PROMT(R) 1990-2005/Oct 25
(c) 2005 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
(c) 1999 The Gale Group
File 634:San Jose Mercury Jun 1985-2005/Oct 25
(c) 2005 San Jose Mercury News
File 148:Gale Group Trade & Industry DB 1976-2005/Oct 26
(c)2005 The Gale Group
File 20:Dialog Global Reporter 1997-2005/Oct 26
(c) 2005 Dialog
File 35:Dissertation Abs Online 1861-2005/Oct
(c) 2005 ProQuest Info&Learning
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 The Gale Group
File 65:Inside Conferences 1993-2005/Oct W4
(c) 2005 BLDSC all rts. reserv.
File 2:INSPEC 1898-2005/Oct W3
(c) 2005 Institution of Electrical Engineers
File 474:New York Times Abs 1969-2005/Oct 25
(c) 2005 The New York Times
File 475:Wall Street Journal Abs 1973-2005/Oct 25
(c) 2005 The New York Times
File 99:Wilson Appl. Sci & Tech Abs 1983-2005/Sep
(c) 2005 The HW Wilson Co.
File 348:EUROPEAN PATENTS 1978-2005/Oct W03
(c) 2005 European Patent Office
File 349:PCT FULLTEXT 1979-2005/UB=20051020,UT=20051013
(c) 2005 WIPO/Univentio
File 347:JAPIO Nov 1976-2005/Jun(Updated 051004)
(c) 2005 JPO & JAPIO

Set	Items	Description
-----	-------	-------------

S1	157	UNIT?? (S) TRUST (S) BOND (S) (EQUITY OR STOCK) (S)
RATIO		
S2	0 1	157 UNIT?? (S) TRUST (S) BOND (S) (EQUITY OR
STOCK)		
		(S) RATIO
S3	14	UNIT?? (S) TRUST (S) BOND (S) (EQUITY OR STOCK) (S)
RATIO -		
		(S) PAR
S4	0	S3 AND PY<2000
?		